

PTO-1449 Information Disclosure Citation In an Application	Application No. 10/767,588		Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0173	Group Art Unit 3624	Filing Date January 29, 2004	

U.S. PATENT DOCUMENTS

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		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	K	WO 01/77946 A1	10/18/2001	PCT	G06F	17/60		
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/TH/P		European Patent Office Communication for Application No 05712564.3 - 1238; 3 pages.	01/08/2007
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EXAMINER /Thu Thao Havan/	DATE CONSIDERED 01/06/2008
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U.S. PATENT AND TRADEMARK OFFICE

PTO-1449	Application No. 10/767,588		Applicant(s) Thomas J. Daley, et al.	
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/TH/P		European Patent Office Examination Report for Application No. 05 712 566.8 - 1238; 5 pages.	11/14/2007
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/TH/		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	2001/0042040 A1	11/15/2001	Keith	705	37	03/08/2001
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/TH/	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.</i>	12/13/2006
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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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/TH/	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.	01/04/2007
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		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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/TH	K	WO 01/75752 A2	10/11/2001	PCT	G06F	17/60		
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/TH	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03168; 6 pages.</i>	01/29/2007
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U.S. PATENT DOCUMENTS							
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
TH/	A	5,727,165	03/10/1998	Ordish, et al.	395	237	12/27/1994
	B	7,110,969 B1	09/19/2006	Bennett, et al.	705	35	07/26/2000
	C	7,242,669 B2	07/10/2007	Bundy, et al.	370	252	12/04/2000
	D	2002/0091606 A1	07/11/2002	Shapiro	705	36	01/11/2001
	E	2002/0156719 A1	10/24/2002	Finebaum, et al.	705	37	11/15/2001
	F	2003/0101128 A1	05/29/2003	Abernethy	705	37	11/29/2001
V	G	2006/0015436 A1	01/19/2006	Burns, et al.	705	37	09/30/2004
TH/	H	2007/0156574 A1	07/05/2007	Marynowski, et al.	705	37	02/12/2007
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
TH/P		USPTO Office Action Summary for Application No. 10/767,699; filed January 29, 2004; Attorney Docket No. 069547.0174; 22 pages.	10/26/2007
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U.S. PATENT DOCUMENTS							
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/TH/	A	3,573,747	04/06/1971	Adams, et al.	340	172.5	02/24/1969
	B	3,581,072	05/25/1971	Nymeyer	235	152	03/28/1968
	C	2002/0178104 A1	11/28/2002	Hausman	705	37	04/20/2001
	D	2002/0198816 A1	12/26/2002	Gilbert, et al.	705	37	10/17/2001
	E	2003/0009413 A1	01/09/2003	Furbush, et al.	705	37	07/09/2001
	F	2003/0167224 A1	09/04/2003	Periwal	705	37	01/09/2003
	G	2004/0059666 A1	03/25/2004	Waelbroeck, et al.	705	37	06/24/2003
	H	2005/0055305 A1	03/10/2005	Lutnick, et al.	705	37	09/10/2004
	I	2006/0026090 A1	02/02/2006	Balabon	705	37	07/28/2005
/TH/	J	2007/0118464 A1	05/24/2007	Avery	705	37	01/12/2007

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/TH/	A	5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
↓	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
↓	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
↓	D	2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
↓	E	2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
↓	F	2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
/TH/	G	2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

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/TH/	H	EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
↓	I	GB 2 389 687 A	12/17/2003	UK	G06F	17/60		
↓	J	GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
↓	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
↓	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
↓	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
↓	N	WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
/TH/	O	WO 2005/083603 A1	09/09/2005	PCT	G06F	17/60		

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/TH/	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
↓	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
↓	R	<i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
/TH/	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

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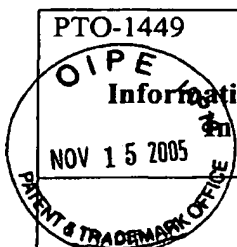
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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/TH/	A	4,412,287	09/15/1982	Braddock, III	364	408	09/15/1982
	B	5,077,665	12/31/1991	Silverman, et al.	364	408	05/25/1989
	C	6,278,982 B1	08/21/2001	Korhammer, et al.	705	37	04/21/1999
	D	H 2064 H	05/06/2003	Buchalter	705	37	11/28/2000
	E	2002/0023037 A1	02/21/2002	White, Jr.	705	37	11/05/2001
/TH/	F	2005/0171890 A1	08/04/2005	Daley, et al.	705	37	01/29/2004
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/TH/	T	WO 00/11587 A1	03/02/2000	PCT	G06F	17/60	X	
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NON-PATENT DOCUMENTS		
	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/TH/	Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.	02/24/2006
/TH/	Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.	02/24/2006
/TH/	How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.	03/2005

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/TH/	A	2004/0210505 A1	10/21/2004	Pourhamid	705	37	04/17/2003
/TH/	B	2004/0236662 A1	11/25/2004	Korhammer, et al.	705	37	05/20/2003
/TH/	C	2005/0044031 A1	02/24/2005	Lebedev	705	37	08/21/2003
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/TH/	R	Written Opinion of the International Searching Authority for Application No. PCT/US05/03166; 5 pages.					11/04/2005
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/TH/	N	Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings	filing date January 29, 2004
↓	O	Patent Pending Application entitled, "System and Method for Controlling the Disclosure of a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0174, 66 pages including drawings	filing date January 29, 2004
↓	P	Patent Pending Application entitled, "System and Method for Avoiding Transaction Costs Associated with Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0175, 65 pages including drawings	filing date January 29, 2004
↓	Q	Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
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